

Applicant or Patentee: JAY S. WALKER, L.

Application or Patent No.:

Filed or Issued: herewith

Attorney's

Docket No.: 2173.5

For: SYSTEM AND METHOD FOR PERFORMING LOTTERY TICKET TRANSACTIONS UTILIZING POINT-OF-SALE TERMINALS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) AND 1.27(c)) - SMALL BUSINESS CONCERN

65431 U.S. PTO  
08/822709  
03/21/97

I hereby declare that I am

☐

the owner of the small business concern identified below:

☒

an official of a corporate general partner of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN WALKER ASSET MANAGEMENT, LIMITED PARTNERSHIP

ADDRESS OF Four High Ridge Park

Stamford, Connecticut 06905

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled SYSTEM AND METHOD FOR PERFORMING LOTTERY TICKET TRANSACTIONS UTILIZING POINT-OF-SALE TERMINALS

by inventors JAY S. WALKER, JAMES A. JORASCH, SANJAY K. JINDAL described

☒

the specification filed herewith

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application no. \_\_\_\_\_, filed \_\_\_\_\_

☐

patent no. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐

INDIVIDUAL

☐

SMALL BUSINESS CONCERN

☐

NONPROFIT ORGANIZATION

NAME \_\_\_\_\_

ADDRESS \_\_\_\_\_

☐

INDIVIDUAL

☐

SMALL BUSINESS CONCERN

☐

NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING JAY S. WALKER

TITLE OF PERSON OTHER THAN OWNER President of Walker Digital Corp., as General Partner of Walker Asset Management, Limited Partnership

ADDRESS OF PERSON SIGNING 124 Spectacle Lane, Ridgefield, Connecticut 06877

SIGNATURE 

DATE 3/18/97

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COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION

(Page 1)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled SYSTEM AND METHOD FOR PERFORMING LOTTERY TICKET TRANSACTIONS UTILIZING POINT-OF-SALE TERMINALS

the specification of which ☒ is attached hereto ☐ was filed on \_\_\_\_\_  
as United States Application No. or PCT International Application No. \_\_\_\_\_  
and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56.

I hereby appoint the following attorneys to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Joseph M. Fitzpatrick (Registration No. 17,398), Lawrence F. Scinto (Registration No. 18,973), William J. Brunet (Registration No. 20,452), Robert L. Baechtold (Registration No. 20,860), John A. O'Brien (Registration No. 24,367), John A. Krause (Registration No. 24,613), Henry J. Renk (Registration No. 25,499), Peter Saxon (Registration No. 24,947), Anthony M. Zupcic (Registration No. 27,276), Charles P. Baker (Registration No. 26,702), Stevan J. Bosses (Registration No. 22,291), Edward E. Vassallo (Registration No. 29,117), Ronald A. Clayton (Registration No. 26,718), Lawrence A. Stahl (Registration No. 30,110), Laura A. Bauer (Registration No. 29,767), Leonard P. Diana (Registration No. 29,296), David M. Quinlan (Registration No. 26,641), Nicholas N. Kallas (Registration No. 31,530), William M. Wannisky (Registration No. 28,373), Lawrence S. Perry (Registration No. 31,865), Robert H. Fischer (Registration No. 30,051), Christopher Philip Wrist (Registration No. 32,078), Gary M. Jacobs (Registration No. 28,861), Michael K. O'Neill (Registration No. 32,622), Bruce C. Haas (Registration No. 32,734), Scott K. Reed (Registration No. 32,433), Scott D. Malpede (Registration No. 32,533), Fredrick M. Zullo (Registration No. 32,452), Richard P. Bauer (Registration No. 31,588), Warren E. Olsen (Registration No. 27,290), Abigail F. Cousins (Registration No. 29,292), Steven E. Warner (Registration No. 33,326), Thomas J. O'Connell (Registration No. 33,202), Penina Wollman (Registration No. 30,816), David L. Schaeffer (Registration No. 32,716), Jack S. Cubert (Registration No. 24,245), Mark A. Williamson (Registration No. 33,628), Jean K. Dudek (Registration No. 30,938), Raymond R. Mandra (Registration No. 34,382), Dominick A. Conde (Registration No. 33,856), Pasquale A. Razzano (Reg. No. 25,512), John W. Behringer (Registration No. 23,086), Robert C. Kline (Registration No. 17,739), Mark J. Itri (Registration No. 36,171), William C. Hwang (Registration No. 36,169), Michael P. Sandomato (Registration No. 35,345), Jack M. Arnold (Registration No. 25,823), John D. Carlin (Registration No. 37,292), Daniel S. Glueck (Registration No. 37,838), Victor J. Geraci (Registration No. 38,157), Joseph W. Ragusa (Registration No. 38,586), Brian L. Klock (Registration No. 36,570), Anne M. Maher (Registration No. 38,231), William J. Zak, Jr. (Registration No. 38,668), Thomas D. Pease (Registration No. 35,317), Bruce M. Wexler (Registration No. 35,409), Robert S. Mayer (Registration No. 38,544), Errol B. Taylor (Registration No. 39,853), Matthew J. Golden (Registration No. 35,161), Mark J. Rosen (Registration No. 39,822), Sean W. O'Brien (Registration No. 37,689), Thomas M. Palisi (Registration No. 36,629), Dolores A. Moro-Grossman (Registration No. 33,972), T. Thomas Gellenthien (Registration No. 39,683), Douglas Sharrott (Registration No. 39,832), Gordon F. Sieckmann (Registration No. 28,667), and Jay H. Anderson (Registration No. 38,371), Jeffrey L. Brandt (Registration No. 31,490).

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New York, N.Y. 10172  
Telephone No. (212) 758-2400

08822709-032197

COMBINED DECLARATION AND POWER OF ATTORNEY  
FOR PATENT APPLICATION

(Page 2)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Sole or First Inventor JAY S. WALKER

Inventor's signature \_\_\_\_\_

Date 3/18/97

Citizen/Subject of United States

Residence 124 Spectacle Lane

Ridgefield, Connecticut 06877

Post Office Address \_\_\_\_\_

Full Name of Third Joint Inventor, if any JAMES A. JORASCH

Second Inventor's signature \_\_\_\_\_

Date 3/19/97

Citizen/Subject of United States

Residence 25 Forest Street, Apt. 5G

Stamford, Connecticut 06901

Post Office Address \_\_\_\_\_

Full Name of Fifth Joint Inventor, if any SANJAY K. JINDAL

Third Inventor's signature \_\_\_\_\_

Date 3/18/97

Citizen/Subject of India

Residence 52 Village Walk

Wilton, Connecticut 06897

Post Office Address \_\_\_\_\_

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**ASSIGNMENT**

FOR VALUE RECEIVED, WE JAY S. WALKER, JAMES A. JORASCH,

citizens of United States of America

SANJAY K. JINDAL,

citizen of India

residing, respectively, at 124 Spectacle Lane, Ridgefield, Connecticut 06877; 25 Forest Street, Apt. 5G, Stamford, Connecticut 06901; 52 Village Walk, Wilton, Connecticut 06897

hereby sell, assign, transfer and convey unto Walker Asset Management, Limited Partnership

having a place of business at Four High Ridge Park, Stamford, Connecticut 06905

its successors, assigns and legal representatives (hereinafter called the "Assignee"), the entire right, title and interest, for all countries, in and to certain inventions relating to

SYSTEM AND METHOD FOR PERFORMING LOTTERY TICKET TRANSACTIONS UTILIZING POINT-OF-SALE TERMINALS

and described in an application for Letters Patent of the United States filed herewith

and in and to said application, and all divisions, renewals and continuations thereof, and all Letters Patent of the United States which may be granted, thereon, and all reissues and extensions thereof, and all applications for Letters Patent or other grants of protection of proprietary rights including, but not limited to, inventor's certificate, utility model, utility certificate, patent of importation, registration of patent and industrial design registration which may be filed, and which may be granted, upon said inventions in any countries or regions foreign to the United States, and all reissues, renewals and extensions thereof; and we hereby authorize and request the Commissioner for Patents and Trademarks of the United States, and all officials of countries or regions foreign to the United States having authority so to do, to issue all such Letters Patent or other grants of protection upon said inventions to the Assignee or to such nominees as it may designate.

AND we authorize and empower the said Assignee or nominees to invoke and claim for any application for such Letters Patent or other grants of protection for said inventions filed by it or them, the benefit of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by a convention which may henceforth be substituted for it, and to invoke and claim such right of priority without further written or oral authorization from us.


AND we hereby consent that a copy of this assignment shall be deemed a full and formal equivalent of any assignment, consent to file or like document which may be required in any country or region for any purpose and more particularly in proof of the right of the said Assignee or nominees to claim the aforesaid benefit of the right of priority provided by the International Convention for the Protection of Industrial Property, as amended, or by any convention which may henceforth be substituted for it.

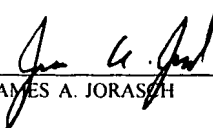
AND we hereby covenant that we have the full right to convey the entire right, title and interest herein assigned and that we have not executed and will not execute any agreement in conflict herewith.

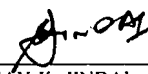
AND we hereby covenant and agree that we will communicate to said Assignee or nominees all facts known to us pertaining to said inventions, and testify in all legal proceedings, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and declarations and in general perform all lawful acts necessary or proper to aid said Assignee or nominees in obtaining, maintaining and enforcing all lawful patent or other grants of protection of said inventions in any and all countries and regions.

of , 19

IN TESTIMONY WHEREOF, we hereunto set our hand and seal this day

  
\_\_\_\_\_  
JAY S. WALKER

  
\_\_\_\_\_  
JAMES A. JORASCH

  
\_\_\_\_\_  
SANJAY K. JINDAL

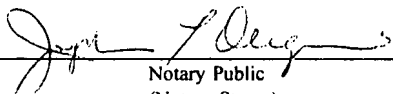
STATE OF *Connecticut*  
COUNTY OF *Fairfield*

)  
) ss.:  
)

On this *18<sup>th</sup>* day of *March*, 19*97*, before me personally appeared JAY S. WALKER, JAMES A. JORASCH, SANJAY K. JINDAL

to me known and known to me to be the individual described in and who executed the foregoing instrument, and who thereupon acknowledged to me that they executed the same for the purposes therein set forth.

(Seal)

  
\_\_\_\_\_  
Notary Public  
(Notary Stamp)

(Joint Inventors)

JOSEPHINE L. DEIGNAN  
NOTARY PUBLIC  
MY COMMISSION EXPIRES JUNE 30, 2001

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